

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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SHEET 1 of 1

**Complete if Known**

|                      |                           |
|----------------------|---------------------------|
| Application Number   | 10/712,634                |
| Filing Date          | November 13, 2003         |
| First Named Inventor | Kazuhisa Yamamoto, et al. |
| Art Unit             | 2828                      |
| Examiner Name        | Dung T. Nguyen            |
| Attorney Docket No.  | YAO-3750US6               |

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                            | Publication Date (MM-DD-YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|-------------------------------|---|---|
|                    |                       | Number - Kind Code <sup>2</sup> (if known) |                               |   |   |
| DW                 |                       | US-5,042,909                               | 07/27/1991                    | Garcia, Jr., et al.                             | _____   |
| ✓                  |                       | US-5,130,838                               | 07/14/1992                    | Tanaka, et al.                                  | _____   |
|                    |                       | US-5,177,758                               | 01/05/1993                    | Oka, et al.                                     | _____   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date (MM-DD-YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>4</sup>           |
|--------------------|-----------------------|---|-------------------------------|---|---|--------------------------|
|                    |                       | Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known) |                               |   |   |                          |
| DW                 |                       | WO 94/15237   | 07/07/1994                    | Thomson-CSF                                     | _____   | <input type="checkbox"/> |
| DW                 |                       | JP 04-000783  | 01/06/1992                    | Hitachi Ltd.                                    | _____   | <input type="checkbox"/> |
| ✓                  |                       | JP 06-295159  | 10/21/1994                    | Matsushita Electric Ind Co Ltd                  | _____   | <input type="checkbox"/> |

**NON-PATENT LITERATURE DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T <sup>2</sup>           |
|--------------------|-----------------------|--|--------------------------|
|                    |                       | Chinese Office Action dated April 29, 2005   | <input type="checkbox"/> |
|                    |                       | Chinese Office Action dated June 3, 2005.  | <input type="checkbox"/> |
|                    |                       | Chinese Office Action dated June 29, 2005 (first).   | <input type="checkbox"/> |
|                    |                       | Chinese Office Action dated June 29, 2005 (second).  | <input type="checkbox"/> |

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|--------------------|----------------|-----------------|----------|
| Examiner Signature | Dung T. Nguyen | Date Considered | 02/17/06 |
|--------------------|----------------|-----------------|----------|

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<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

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(AW 08/03)

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|                      |                           |
|----------------------|---------------------------|
| Application Number   | To Be Assigned            |
| Filing Date          | Herewith                  |
| First Named Inventor | Kazuhisa Yamamoto, et al. |
| Art Unit             | To Be Assigned            |
| Examiner Name        | To Be Assigned            |
| Attorney Docket No.  | YAO-3750US6               |

SHEET 1 of 3

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                            | Publication Date (MM-DD-YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|-------------------------------|---|---|
|                    |                       | Number - Kind Code <sup>2</sup> (if known) |                               |   |   |
| DU                 |                       | US-5,452,312                               | 09-19-1995                    | Yamamoto, et al.                                |   |
|                    |                       | US-5,295,218                               | 03-1994                       | Agostinelli                                     |   |
|                    |                       | US-5,113,524                               | 05-1992                       | Hirota  |   |
|                    |                       | US-4,907,238                               | 03-1990                       | Chun  |   |
|                    |                       | US-4,667,331                               | 05-1987                       | Alferness                                       |   |
|                    |                       | US-5,614,961                               | 03-1997                       | Gibeau  |   |
|                    |                       | US-4,665,529                               | 05-12-1987                    | Baer, et al.                                    |   |
|                    |                       | US-5,036,220                               | 07-30-1991                    | Byer, et al.                                    |   |
|                    |                       | US-5,303,247                               | 04-12-1994                    | Yamamoto, et al.                                |   |

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|--------------------|-----------------------|---|-------------------------------|---|---|--------------------------|
|                    |                       | Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known) |                               |   |   |                          |
| DU                 |                       | JP 6-18823 U  | 03-11-1994                    |   |   | <input type="checkbox"/> |
|                    |                       | JP 08-194196  | 07-30-1996                    | Fujitsu, Ltd.                                   |   | <input type="checkbox"/> |
|                    |                       | JP 2-199975   | 08-08-1990                    | Sony Corp.                                      |   | <input type="checkbox"/> |
|                    |                       | JP 2-221995   | 09-04-1990                    | Sony Corp.                                      |   | <input type="checkbox"/> |
|                    |                       | JP 3-191332   | 08-21-91                      | Matsushita Elec. Ind. Co., Ltd.                 |   | <input type="checkbox"/> |
|                    |                       | JP 3-38984  | 02-20-91                      | Pioneer Electronic Corp.                        |   | <input type="checkbox"/> |
|                    |                       | JP 4-100088   | 04-02-92                      | Sony Corp.                                      |   | <input type="checkbox"/> |
|                    |                       | JP 4-18823  | 02-17-92                      | Asahi Glass Co., Ltd.                           |   | <input type="checkbox"/> |
|                    |                       | JP 4-296731   | 10-21-92                      | Matsushita Elec. Ind. Co., Ltd.                 |   | <input type="checkbox"/> |
|                    |                       | JP 4-315120   | 11-6-92                       | Matsushita Elec. Ind. Co., Ltd.                 |   | <input type="checkbox"/> |
|                    |                       | JP 4-45478  | 2-14-92                       | Ibiden Co., Ltd.                                |   | <input type="checkbox"/> |
|                    |                       | JP 4-507299   | 12-17-92                      | Board of Trustees of Leland Stanford Jr. Univ.  |   | <input type="checkbox"/> |
|                    |                       | JP 5-107421   | 4-30-93                       | Fujitsu, Ltd.                                   |   | <input type="checkbox"/> |
|                    |                       | JP 5-173094   | 7-13-93                       | Matsushita Elec. Ind. Co., Ltd.                 |   | <input type="checkbox"/> |
|                    |                       | (**continued on page 2**)   |                               |   |   | <input type="checkbox"/> |

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<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

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| First Named Inventor | Kazuhiisa Yamamoto, et al. |
| Art Unit             | To Be Assigned             |
| Examiner Name        | To Be Assigned             |
| Attorney Docket No.  | YAO-3750US6                |

**SHEET 2 of 3**

**U.S. PATENT DOCUMENTS**

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**SHEET 3 of 3**

**Complete if Known**

Application Number

### To Be Assigned

Filing Date

**Herewith**

**First Named Inventor**

Kazuhisa Yamamoto, et al.

### Art Unit

### To Be Assigned

**Examiner Name**

### To Be Assigned

Attorney Docket No.

**YAO-3750US6**

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No. 1

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MIZUUCHI, K., et al., "Second-Harmonic Generation of Blue Light in a LiTaO<sub>3</sub> Waveguide", Applied Physics Letters, Vol. 58, No. 24, pp. 2732-2734 (1991).

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International Search Report corresponding to PCT/JP96/01472 dated 10/8/96.

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Chinese Office Action dated July 10, 2003.

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AHLFELDT, H., et al., "Postfabrication Changes and Dependence on Hydrogen Concentration of the Refractive Index of Proton-Exchanged Lithium Tantalate Waveguides", pp. 717-727 (January 15, 1994).



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Signature**

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